

# UTILITY PATENT APPLICATION TRANSMITTAL

(Only for nonprovisional applications under 37 CFR § 1.53(b))

Attorney Docket No.

500170.14

October 31, 2003

First Inventor or Application Identifier

Sc tt E. Moor

Title

**APPARATUS AND METHOD FOR CONDITIONING AND  
MONITORING MEDIA USED FOR  
CHEMICAL-MECHANICAL PLANARIZATION**

Express Mail Label No.

EL990358725US

## APPLICATION ELEMENTS

See MPEP chapter 600 concerning utility patent application contents.

## ADDRESS TO:

Mail Stop Patent Application  
Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

- |  |  |
|--|--|
| <p>1. <input checked="" type="checkbox"/> Fee Transmittal Sheet (+ copy)<br/>(Submit an original and a duplicate for fee processing)</p> <p>2. <input type="checkbox"/> Applicant(s) Claim(s) Small Entity Status</p> <p>3. <input checked="" type="checkbox"/> Specification [Total Pages] <b>36</b><br/>(preferred arrangement set forth below)</p> <ul style="list-style-type: none"> <li>- Descriptive Title of the Invention</li> <li>- Cross References to Related Applications</li> <li>- Statement Regarding Fed sponsored R &amp; D</li> <li>- Reference to Microfiche Appendix</li> <li>- Background of the Invention</li> <li>- Brief Summary of the Invention</li> <li>- Brief Description of the Drawings (if filed)</li> <li>- Detailed Description</li> <li>- Claim(s)</li> <li>- Abstract of the Disclosure</li> </ul> <p>4. <input checked="" type="checkbox"/> Drawing(s) (35 USC 113) [Total Sheets] <b>7</b></p> <p>5. <input checked="" type="checkbox"/> Oath or Declaration [Total Pages] <b>1</b></p> <p>a. <input type="checkbox"/> Newly executed (original or copy)</p> <p>b. <input checked="" type="checkbox"/> Copy from a prior application (37 CFR 1.63(d))<br/>(for continuation/divisional with Box 18 completed)</p> <p>i. <input type="checkbox"/> <u>DELETION OF INVENTOR(S)</u><br/>Signed statement attached deleting<br/>inventor(s) named in the prior application,<br/>see 37 CFR 1.63(d)(2) and 1.33(b)</p> <p>6. <input checked="" type="checkbox"/> Application Data Sheet (37 C.F.R. 1.76)</p> | <p>7. <input type="checkbox"/> CD-ROM or CD-R in duplicate, large table or Computer Program (Appendix)</p> <p>8. <input type="checkbox"/> Nucleotide and/or Amino Acid Sequence Submission<br/>(if applicable, all necessary)</p> <p>a. <input type="checkbox"/> Computer-Readable Form (CRF)</p> <p>b. <input type="checkbox"/> Specification Sequence Listing on:</p> <p>c. <input type="checkbox"/> i. <input type="checkbox"/> CD-ROM or CD-R (2 copies); or<br/>ii. <input type="checkbox"/> paper</p> <p><input type="checkbox"/> Statement verifying identity of above copies</p> |
|--|--|
- ACCOMPANYING APPLICATION PARTS**

9. ☐ Certification Under 35 U.S.C. 122(b)(2)(B)(i)

10. ☐ Assignment Papers (cover sheet & document(s))

11. ☒ 37 CFR 3.73(b) Statement (when there is an assignee) ☒ Power of Attorney

12. ☐ English Translation Document (if applicable)

13. ☒ Preliminary Amendment Total Pages **9**

14. ☒ Return Receipt Postcard

15. ☒ Information Disclosure Statement (IDS)/PTO-1449 ☐ Copies of IDS Citations

16. ☐ Certified Copy of Priority Document(s)  
(if foreign priority is claimed)

17. ☒ Other: Certificate of Express Mail  
Check; Copy of Revocation and Substitute  
Power Of Attorney, General Authorization

18. If a **CONTINUING APPLICATION**, check appropriate box and supply the requisite information below and in a preliminary amendment
- ☐ Continuation ☒ Divisional ☐ Continuation-In-Part (CIP) of prior Application No.: 10/286,064 Filed October 31, 2002
- Prior application information: Examiner Maurina T. Rachuba Group / Art Unit 3723
- ☒ **Incorporation By Reference** (useable if box 5b is checked)  
The entire disclosure of the prior application, from which a copy of the oath or declaration is supplied under Box 5b, is considered to be part of the disclosure of the accompanying application and is hereby incorporated by reference therein.

☐ Claims the benefit of Provisional Application No. \_\_\_\_\_

## CORRESPONDENCE ADDRESS

**Steven H. Arterberry, Esq.**  
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Seattle, Washington 98101-4010  
(206) 903-8800 phone / (206) 903-8820 fax

Cust mer No. 27,076

TYPED or PRINTED NAME Steven H. ArterberryREGISTRATION NO. 46,314SIGNATURE Steven ArterberryDate 10/31/03

PATENT

**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

Applicant : Scott E. Moore Attorney Docket No.: 500170.14  
Filed : October 31, 2003  
Title : APPARATUS AND METHOD FOR CONDITIONING AND MONITORING  
MEDIA USED FOR CHEMICAL-MECHANICAL PLANARIZATION

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**CERTIFICATE OF MAILING BY "EXPRESS MAIL"**

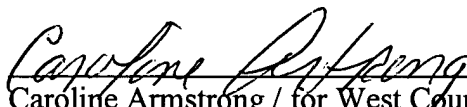
**MAIL STOP PATENT APPLICATION**

Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

Sir:

I hereby certify that the enclosures listed below are being deposited with the United States Postal Service "EXPRESS MAIL Post Office to Addressee" service under 37 C.F.R. § 1.10, Mailing Label Certificate No. EL990358725US, on October 31, 2003, addressed to Mail Stop Patent Application, Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

Respectfully submitted,  
DORSEY & WHITNEY LLP

  
Caroline Armstrong / for West Courier

**SHA:tlmEnclosures:**

Postcard  
Check  
PTO/SB/05 Utility Patent Application Transmittal  
Application Data Sheet  
Fee Transmittal Sheet (+ copy)  
General Authorization  
Preliminary Amendment  
Specification, Claims, Abstract (36 pages)  
7 Sheets of Drawings (Figures 1-7)  
Copy of Declaration  
Copy of Election and Power of Attorney  
Copy of Revocation and Substitute Power of Attorney  
Information Disclosure Statement with Form PTO-1449

# FEE TRANSMITTAL SHEET (FOR FY 2004)

**Complete if Known**

Express Mail No.	EL990358725US
Filing Date	Concurrently Herewith
First Named Inventor	Scott E. Moore
Group Art Unit	Not Yet Assigned
Examiner	Not Yet Assigned
Atty. Docket Number	500170.14

**METHOD OF PAYMENT (Check One)**

1. ☒ The Commissioner is hereby authorized to charge any additional fee required under 37 C.F.R. §§ 1.16 and 1.17 and 1.136(a)(3) and credit any over payments to Deposit Account No.: 50-1266; Deposit Account Name: DORSEY & WHITNEY LLP

2. ☒ Check Enclosed

**FEE CALCULATION**

**1. BASIC FILING FEE**

Large Entity		Small Entity		Fee Description
Fee Code	Fee (\$)	Fee Code	Fee (\$)	
1001	770	2001	385	<input checked="" type="checkbox"/> Utility Filing Fee
1002	340	2002	170	<input type="checkbox"/> Design Filing Fee
1003	530	2003	265	<input type="checkbox"/> Plant Filing Fee
1004	770	2004	385	<input type="checkbox"/> Reissue Filing Fee
1005	160	2005	80	<input type="checkbox"/> Provisional Filing Fee
<b>Subtotal (1)</b>				<b>\$ 770</b>

**2. EXTRA CLAIM FEES**

Current Claims	Prior	Extra	Fee	Fee Paid
Total	19	- 20	= 0 x \$	= \$ 0
Ind.	3	- 3	= 0 x \$	= \$ 0
Multiple Dependent Claims			x \$	= \$
<b>Subtotal (2)</b>				<b>\$ 0</b>

Large Entity		Small Entity		Fee Description
Fee Code	Fee (\$)	Fee Code	Fee (\$)	
1202	18	2202	9	Claims in excess of 20
1201	86	2201	43	Independent claims in excess of 3
1203	290	2203	145	Multiple dependent Claim
1204	86	2204	43	Reissue independent claims over original patent
1205	18	2205	9	Reissue claims in excess of 20 and over original patent

**FEE CALCULATION (Continued)**

**3. ADDITIONAL FEES**

Large Entity		Small Entity		Fee Description	Fee paid
Fee Code	Fee (\$)	Fee Code	Fee (\$)		
1051	130	2051	65	Surcharge - Late filing fee or oath	\$
1052	50	2052	25	Surcharge - late provisional filing fee or cover sheet	\$
1053	130	1053	130	Non-English specification	\$
1812	2,520	1812	2,520	For Filing a Request for <i>ex parte</i> Reexamination	\$
1804	920	1804	920	Requesting publication of SIR prior to Examiner action	\$
1805	1,840	1805	1,840	Requesting publication of SIR after Examiner action	\$
1251	110	2251	55	Extension for reply within first month	\$
1252	420	2252	210	Extension for reply within 2 <sup>nd</sup> month	\$
1253	950	2253	475	Extension for reply within 3 <sup>rd</sup> month	\$
1254	1,480	2254	740	Extension for reply within 4 <sup>th</sup> month	\$
1255	2,010	2255	1,005	Extension for reply within 5 <sup>th</sup> month	\$
1401	330	2401	165	Notice of Appeal	\$
1402	330	2402	165	Filing a brief in support of an appeal	\$
1403	290	2403	145	Request for oral hearing	\$
1814	110	2814	55	Terminal Disclaimer Fee	\$
1452	110	2452	55	Petition to revive - unavoidable	\$
1453	1,330	2453	665	Petition to revive - unintentional	\$
1501	1,330	2501	665	Utility/Reissue issue fee	\$
1502	480	2502	240	Design issue fee	\$
1503	640	2503	320	Plant issue fee	\$
1460	130	1460	130	Petitions to the Commissioner	\$
1807	50	1807	50	Processing fee under 37 CFR 1.17(q)	\$
1806	180	1806	180	Submission of IDS	\$
8021	40	8021	40	Recording each patent assignment per property (times number of properties)	\$
1801	770	2801	385	Request for Continued Examination (RCE)	\$
Other fee (specify)					\$
<b>Subtotal (3)</b>					<b>\$ 770</b>

**Total Amount of Payment: \$ 770**

**Submitted by:**

Name: Steven H. Arterberry

Reg. No.: 46,314

Telephone: (206) 903-8800

Signature: 

Date: 10/31/03

PATENT

**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

Applicant : Scott E. Moore Attorney Docket No.: 500170.14  
Filed : Concurrently Herewith  
Title : APPARATUS AND METHOD FOR CONDITIONING AND MONITORING MEDIA  
USED FOR CHEMICAL-MECHANICAL PLANARIZATION

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**GENERAL AUTHORIZATION**

Mail Stop Patent Application  
Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

Sir:

With respect to the above-identified application, the Commissioner is authorized to charge any fees under 37 C.F.R. §§ 1.16 and 1.17 which may be required and to treat any concurrent or future reply requiring a petition for an extension of time under 37 C.F.R. § 1.136(a)(3) for its timely submission as incorporating a petition therefor for the appropriate length of time and to charge any fees which may be required during the course of prosecution, or credit any overpayment, to Deposit Account No. 50-1266.

Date 10/31/03

  
\_\_\_\_\_  
Steven H. Arterberry  
Registration No. 46,314

SHA:tlm

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